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OFFICIAL**CCPY****PATENT****S/N 09/945,500****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Leonard Forbes
 Serial No.: 09/945,500
 Filed: August 30, 2001
 Title: PROGRAMMABLE MEMORY ADDRESS AND DECODE CIRCUITS WITH
 LOW TUNNEL BARRIER INTERPOLY INSULATORS

Examiner:

Group Art Unit: 2818
 Docket: 1303.029US1**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents
 Washington, D.C. 20231

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with 37 C.F.R. §§ 1.97 *et seq.*, the enclosed materials are brought to the attention of the Examiner for consideration in connection with the above-identified patent application. Applicant respectfully requests that this Information Disclosure Statement be entered and the documents listed on the attached Form 1449 be considered by the Examiner and made of record. Pursuant to the provisions of MPEP 609, Applicant requests that a copy of the 1449 form, initialed as being considered by the Examiner, be returned to the Applicant with the next official communication.

Pursuant to 37 C.F.R. § 1.97(b), it is believed that no fee or statement is required with the Information Disclosure Statement. However, if an Office Action on the merits has been mailed, the Commissioner is hereby authorized to charge the required fees to Account No. 19-0743 in order to have this Information Disclosure Statement considered.

The Examiner is invited to contact the Applicant's Representative at the below-listed telephone number if there are any questions regarding this communication.

Respectfully submitted,

LEONARD FORBES

By his Representatives,

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.
 P.O. Box 2938
 Minneapolis, MN 55402
 (612) 373-6913

Date

7/19/2002

By

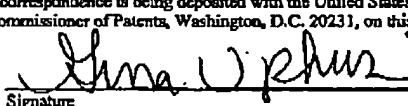

 Edward J. Brooks, III
 Reg. No. 40,925

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Commissioner of Patents, Washington, D.C. 20231, on this 27 day of July, 2002.

Gina M. Uphur

Name

Signature



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U.S. Patent & Trademark Office, U.S. DEPARTMENT OF COMMERCE

Substitute for Form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known				
		Application Number	09/945500			
		Filing Date	August 30, 2001			
		First Named Inventor	Forbes, Leonard			
		Group Art Unit	Unknown			
		Examiner Name	Unknown			
		Attorney Docket No: 01303.029US1				
Sheet 1 of 2						

US PATENT DOCUMENTS

Examiner Initials*	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate
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	US-4780424	10/25/1988	Holler, Mark A	437	29	09/28/1987
	US-5350738	09/27/1994	Hase, Takashi , et al	505	473	11/27/1992
	US-5691230	11/25/1997	Forbes, L.	437	62	09/04/1996
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	US-5852306	12/22/1998	Forbes, Leonard	257	315	01/29/1997
	US-5981350	11/09/1999	Geusic, J. E., et al	438	386	05/29/1998
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Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Case No*	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
		ARYA, S. "Conduction Properties of Thin Al2O3 Films". <u>Thin Solid Films</u> , 91, (1982),pp. 363-374	
		DIPERT, B., "Flash Memory Goes Mainstream", <u>IEEE Spectrum</u> , 30, (October 1993),48-52	
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		GUNDLACH, K., "Logarithmic Conductivity of Al-Al2O3-Al Tunneling Junctions	

EXAMINER**DATE CONSIDERED**

Substitute Disclosure Statement Form (PTD-1449)

* EXAMINER: initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through column if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional) is placed to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <small>(Use as many sheets as necessary)</small>		Complete If Known	
		Application Number	09/945500
		Filing Date	August 30, 2001
		First Named Inventor	Forbes, Leonard
		Group Art Unit	Unknown
		Examiner Name	Unknown
Sheet 2 of 2		Attorney Docket No: 01303.029US1	

OTHER DOCUMENTS – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Produced by Plasma and by Thermal Oxidation". <u>Surface Science</u> , 27, (1971),pp. 125-141	
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		SZE, S., <u>Physics of Semiconductor Devices</u> , Second Edition, John Wiley & Sons, New York,(1981),pp. 553-556	

EXAMINER**DATE CONSIDERED**

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Order the through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language translation is attached

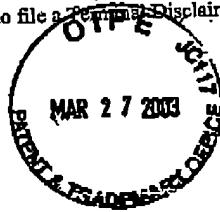
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In re Patent Application of: Leonard Forbes
Title: PROGRAMMABLE MEMORY ADDRESS AND DÉCODE CIRCUITS WITH
LOW TUNNEL BARRIER INTERPOLY INSULATORS
Serial No.: 09/945,500 Filing Date: August 30, 2001

Receipt is hereby acknowledged for the following in the United States Patent and
Trademark Office:

CONTENTS: An Amendment and Response (14 Pages); a Supplemental Information Disclosure Statement (1 pg.), Form 1449 (3 pgs.), and copies of 59 cited documents; a check in the amount of \$180.00 to cover the fee for consideration of Information Disclosure Statement under 97(c); Terminal Disclaimer (3 pgs.); A check in the amount of \$110.00 which represents the fee required to file a Terminal Disclaimer; a Return Postcard and TRANSMITTAL SHEET.

Mailed: March 24, 2003
TBC/ajm



Docket No.: 1303.029US1
Due Date: March 24, 2003

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S/N 09/945500PATENT**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Leonard Forbes Examiner: Ly D. Pham
 Serial No.: 09/945500 Group Art Unit: 2818
 Filed: August 30, 2001 Docket: 1303.029US1
 Title: PROGRAMMABLE MEMORY ADDRESS AND DECODE CIRCUITS WITH
 LOW TUNNEL BARRIER INTERPOLY INSULATOR

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
 Washington, D.C. 20231

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with 37 C.F.R. §§ 1.97 *et. seq.*, the enclosed materials are brought to the attention of the Examiner for consideration in connection with the above-identified patent application. Applicant respectfully requests that this Supplemental Information Disclosure Statement be entered and the documents listed on the attached Form 1449 be considered by the Examiner and made of record. Pursuant to the provisions of MPEP 609, Applicant requests that a copy of the 1449 form, initialed as being considered by the Examiner, be returned to the Applicant with the next official communication.

Pursuant to 37 C.F.R. § 1.97(c)(2), Applicants have included the fee of \$180.00 as set forth in 37 C.F.R. § 1.17(p). Please charge any additional fees or credit any overpayment to Account No. 19-0743.

The Examiner is invited to contact the Applicant's Representative at the below-listed telephone number if there are any questions regarding this communication.

Respectfully submitted,

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By his Representatives,

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Date 24 March 2004

By Timothy B. Clise
 Reg. No. 40,957

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Name Amy Moriarty

Signature Amy Moriarty

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Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Application Number	09/945500
		Filing Date	August 30, 2001
		First Named Inventor	Forbes, Leonard
		Group Art Unit	2818
		Examiner Name	Pham, Ly
Sheet 1 of 3		Attorney Docket No: 1303.029US1	

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		Application Number	09/945500			
		Filing Date	August 30, 2001			
		First Named Inventor	Forbes, Leonard			
		Group Art Unit	2818			
		Examiner Name	Pham, Ly			
Sheet 2 of 3 Attorney Docket No: 1303.029US1						

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Examiner Initials ^a	Foreign Document No	Publication Date	Name of Patentee or Applicant of Cited Document	Class	Subclass	T ^b
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OTHER DOCUMENTS – NON PATENT LITERATURE DOCUMENTS

Examiner Initials ^a	Cite No ^b	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ^b
		AFANAS'EV, V., et al., "Electron energy barriers between (100)Si and ultrathin stacks of SiO ₂ , Al ₂ O ₃ , and ZrO ₃ and ZrO ₂ insulators", <u>Applied Physics Letters</u> , 78(20), (2001), pp. 3073-3075	
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EXAMINER**DATE CONSIDERED**

Substance Disclosure Statement Form (PTO-1449)

*EXAMINER'S initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ^bApplicant's unique citation designation number (optional) ^cApplicant is to place a check mark here if English language Translation is attached

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		KUKLI, K., "Development of Dielectric Properties of Niobium Oxide, Tantalum Oxide, and Aluminum Oxide Based Nanolayered Materials", <u>Journal of the Electrochemical Society</u> , 148(2), (2001), pp. F35-F41	
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EXAMINER

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Examiner Disclosure Statement Form (PTO-1440)

* Examiner initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique docket designation number (optional) Applicant is to place a check mark here if English language Translation is attached

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In re Patent Application of: Leonard Forbes
Title: PROGRAMMABLE ADDRESS AND DECODE CIRCUITS WITH LOW
TUNNEL BARRIER INTERPOLY INSULATORS

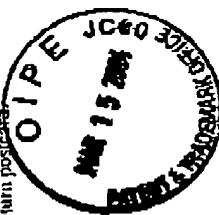
Attorney Docket No.: 1303.029US1

Serial No.: 09/945500

Receipt is hereby acknowledged for the following in the United States Patent and Trademark
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CONTENTS: REQUEST FOR CONTINUED EXAMINATION (RCE) Transmittal (1 pg);
Information Disclosure Statement (2 pages), Form 1449 (2 pages) and 18 Copies of cited documents;
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Mailed: March 11, 2004
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Docket No.: 1303.029US1
Due Date: March 12, 2004

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Applicant: Leonard Forbes Examiner: Ly D. Pham
Serial No.: 09/945500 Group Art Unit: 2818
Filed: August 30, 2001 Docket: 1303.029US1
Title: PROGRAMMABLE MEMORY ADDRESS AND DECODE CIRCUITS WITH
 LOW TUNNEL BARRIER INTERPOLY INSULATORS

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with 37 C.F.R. §§ 1.97 *et seq.*, the enclosed materials are brought to the attention of the Examiner for consideration in connection with the above-identified patent application. Applicant respectfully requests that this Information Disclosure Statement be entered and the documents listed on the attached Form 1449 be considered by the Examiner and made of record. Pursuant to the provisions of MPEP 609, Applicant requests that a copy of the 1449 form, initialed as being considered by the Examiner, be returned to the Applicant with the next official communication.

Pursuant to 37 C.F.R. § 1.97(b), it is believed that no fee or statement is required with the Information Disclosure Statement. However, if an Office Action on the merits has been mailed, the Commissioner is hereby authorized to charge the required fees to Deposit Account No. 19-0743 in order to have this Information Disclosure Statement considered.

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The Examiner is invited to contact the Applicant's Representative at the below-listed telephone number if there are any questions regarding this communication.

Respectfully submitted,

LEONARD FORBES

By his Representatives,

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Date 11 March '04 By 

Timothy B Clise
Reg. No. 40,957

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 11th day of March, 2004.

Name

Amy Moriarty

Signature



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Substitute for Form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <small>(Use as many sheets as necessary)</small>		Complete if Known Application Number 09/945500 Filing Date August 30, 2001 First Named Inventor Forbes, Leonard Group Art Unit 2818 Examiner Name Pham, Ly Attorney Docket No: 1303.029US1				
		Sheet 1 of 2				

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		Application Number	09/945500		
		Filing Date	August 30, 2001		
		First Named Inventor	Forbes, Leonard		
		Group Art Unit	2818		
		Examiner Name	Pham, Ly		
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